

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9(f) AND 1.27 (d)) - NONPROFIT ORGANIZATION**

Docket No.
001290.091198

Serial No.

09/611,652

Filing Date

July 7, 2000

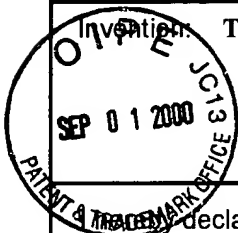
Patent No.

Issue Date

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13/01

Applicant/ **Richard J. Zeman et al.**
Patentee:

SEP 18 2000

Invention: **TREATING NEURAL CONDITIONS RELATING FROM SPINAL CORD CONTUSIONS AND OTHER**


I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF ORGANIZATION: New York Medical College

ADDRESS OF ORGANIZATION: Office of Research Administration
New York Medical College
Valhalls, New York 10595
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TYPE OF NONPROFIT ORGANIZATION:

- ☒ University or other Institute of Higher Education
- ☐ Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3))
- ☐ Nonprofit Scientific or Educational under Statute of State of The United States of America
Name of State: _____ Citation of Statute: _____
- ☐ Would Qualify as Tax Exempt under Internal Revenue Service Code (26 U.S.C. 501(a) and 501(c)(3)) if Located in The United States of America
- ☐ Would Qualify as Nonprofit Scientific or Educational under Statute of State of The United States of America if Located in The United States of America
Name of State: _____ Citation of Statute: _____

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I hereby declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification to be filed herewith.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above identified invention.

If the rights held by the above-identified nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed on the next page and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 CFR 1.9(c) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern or organization exists.
☐ each such person, concern or organization is listed below.

FULL NAME
ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

FULL NAME
ADDRESS

☐ Individual

☐ Small Business Concern

☐ Nonprofit Organization

Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING:

~~Dr. Stella Mann, Ph.D.~~

Catharine Crea

TITLE IN ORGANIZATION:

~~Director, Technology Department~~

Associate Dean

ADDRESS OF PERSON SIGNING:

New York Medical College
Office of Research Administration
Administration Building, Room 202
Valhalla, NY 10595

SIGNATURE:

Catharine Crea

DATE:

8/7/00

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526 R & D PCT/DEC

01 SEP 2000

TRANSMITTAL LETTER
(General - Patent Pending)Docket No.
001290.091198

In Re Application Of: Richard J. Zeman and Joseph D. Etlinger

Serial No.
09/611,652Filing Date
July 7, 2000Examiner
Not Yet AssignedGroup Art Unit
Not Yet Assigned

TREATING NEURAL CONDITIONS RESULTING FROM SPINAL CORD CONTUSIONS AND OTHER CAUSES

TO THE COMMISSIONER OF PATENTS AND TRADEMARKS:

Transmitted herewith is: an executed Verified Statement (Declaration) Claiming Small Entity Status (37 FR 1.9(f) and 1.27(d)) - Nonprofit Organization.


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in the above identified application.

- ☒ No additional fee is required.
- ☐ A check in the amount of _____ is attached.
- ☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 50-1145 as described below. A duplicate copy of this sheet is enclosed.
- ☐ Charge the amount of _____
- ☐ Credit any overpayment.
- ☒ Charge any additional fee required.


Signature

Dated: August 30, 2000

J. David Dainow
Registration No. 22,959
Pitney, Hardin, Kipp & Szuch LLP
711 Third Avenue
New York, NY 10017
(212) 687-6000

I certify that this document and fee is being deposited on
August 30, 2000 with the U.S. Postal Service as first
class mail under 37 C.F.R. 1.8 and is addressed to the
Commissioner of Patents and Trademarks, Washington,
D.C. 20231.


Signature of Person Mailing Correspondence

J. David Dainow

Typed or Printed Name of Person Mailing Correspondence

CC: